

# EXHIBIT A

**UNITED STATES PATENT AND TRADEMARK OFFICE**UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 15, 2004

PTAS

ORRICK, HERRINGTON &amp; SUTCLIFFE LLP

JAMES W. GERIAK

4 PARK PLAZA, SUITE 1600

IRVINE, CA 92614



\*102497672A\*

**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/10/2003

REEL/FRAME: 014260/0544  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CARLEY, MICHAEL T.

DOC DATE: 06/03/2003

ASSIGNOR:

GINN, RICHARD S.

DOC DATE: 07/09/2003

ASSIGNOR:

SAGASTEGUI, JAVIER

DOC DATE: 06/03/2003

ASSIGNOR:

JABBA, RONALD J.

DOC DATE: 06/03/2003

ASSIGNOR:

ALDRICH, WILLIAM N.

DOC DATE: 06/16/2003

ASSIGNOR:

BELEF, W MARTIN

DOC DATE: 06/03/2003

9/23/05  
Disse  
JW  
Dom  
12/1/07

**RECEIVED**

JAN 21 2004

014260/0544 PAGE 2

**ASSIGNEE:**

INTEGRATED VASCULAR SYSTEMS, INC.  
743 PASTORIA AVE.  
SUNNYVALE, CALIFORNIA 94086-2918

SERIAL NUMBER: 10081726  
PATENT NUMBER: 6623510

FILING DATE: 02/21/2002  
ISSUE DATE: 09/23/2003

PAULA MCCRAY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-1595  
(Rev. 10/02)

RECORDATI

07-16-2003

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

OMB No. 0651-0027 (exp. 6/30/2005)

ATTORNEY DOCKET NO. 701879.8



102497672

To the Hon. Commissioner of Patents &amp; Trademarks, please record this document or copy thereof.

## 1. Name of conveying party(ies):

Michael T. Carley; Richard S. Ginn; Javier Sagastegui;  
Ronald J. Jabba; William N. Aldrich; and W Martin BelefAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: June 3, 2003; July 9, 2003; June 3, 2003; June 3, 2003; June 16, 2003; and June 3, 2003, respectively

## 2. Name and address of receiving party(ies)

Name Integrated Vascular Systems, Inc.Internal Address: 743 Pastoria Ave.Street Address: Sunnyvale, CA 94086-2918

City: \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Additional name(s) and address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s): 10/081,726

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached?

☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name Orrick, Herrington & Sutcliffe LLP

Internal Address: \_\_\_\_\_

Street Address: 4 Park Plaza, Suite 1600City: Irvine State CA ZIP 92614Attn: James W. Geriak

## 6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$40.00

☐ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit Account number:

15-0665

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

James W. Geriak

Name of Person Signing

Signature

July 10, 2003

Date

Total number of pages including cover sheet, attachments, and document: 4

Mail documents to be recorded with required cover sheet information to:  
Mail Stop Assignment Recordation Services, Commissioner of Patents, P.O. Box 1450, Arlington, VA 22313-1450

07/15/2003 8:28:11 00000275 150665 10001726..

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Patent  
Orrick No. 701879.8  
(Former L&L 260/099)

**ASSIGNMENT OF PATENT APPLICATION**

WHEREAS, WE, MICHAEL T. CARLEY, a citizen of UNITED STATES, RICHARD S. GINN, a citizen of UNITED STATES, JAVIER SAGASTEGUI, a citizen of UNITED STATES, RONALD J. JABBA, a citizen of UNITED STATES, WILLIAM N. ALDRICH, a citizen of UNITED STATES, and W. MARTIN BELEF, a citizen of UNITED STATES, (hereinafter referred to as "ASSIGNORS"), have invented a certain invention entitled CLOSURE DEVICE AND METHODS FOR MAKING AND USING THEM for which application for Letters Patent of the United States of America has been filed on February 21, 2002, assigned Serial No. 10/081,726; and

WHEREAS, INTEGRATED VASCULAR SYSTEMS, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware and having its place of business at 743 Pastoria Avenue, Sunnyvale, California 94086-2918 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sells, assigns, transfers and sets over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and

DOCSOC1:111424.1  
L01879-02600992 XLYON

Patent  
Orrick No. 701879.8  
(Former L&L 260/099)

ASSIGNOR hereby authorizes and requests the United States Commissioner of Patents and Trademarks, and any officials of foreign countries whose duty it is to issue patents or any legal equivalent thereof, to issue said patents to ASSIGNEE, its successors and assigns, in accordance with this Assignment.


ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at Sunnyvale, California, this 3 day of June, 2003.

  
MICHAEL T. CARLEY

WITNESS my hand at Sunnyvale, California, this 9 day of July, 2003.

  
RICHARD S. GINN

DOCSOC1:111424.1  
L01879-02600992 XLYON

Patent  
Orrick No. 701879.8  
(Former L&L 260/099)

WITNESS my hand at Sunnyvale, California, this 3 day of June, 2003.

  
JAVIER SAGASTEGUI

WITNESS my hand at Sunnyvale, California, this 3 day of June, 2003.

  
RONALD J. JABBA

Napa  
WITNESS my hand at Sunnyvale, California, this 16 day of June, 2003.

  
WILLIAM N. ALDRICH

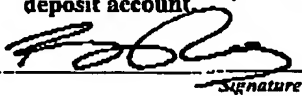
WITNESS my hand at Sunnyvale, California, this 3 day of June, 2003.

  
W. MARTIN BELEF

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b) or 1.97(c))				Docket No. 16497.1.1.3	
In Re Application Of: Michael T. Carley et al.					
Application No. 10/617,090	Filing Date 07/09/2003	Examiner DAVIS, DANIEL J.	Customer No. 022913	Group Art Unit 3731	Confirmation No. 1941
Title: CLOSURE DEVICE AND METHODS FOR MAKING AND USING THEM				<b>RECEIVED</b> <b>CENTRAL FAX CENTER</b>  SEP 16 2005	
Address to: Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450					
<b>37 CFR 1.97(b)</b>					
1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.					
<b>37 CFR 1.97(c)</b>					
2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:					
<input type="checkbox"/> the statement specified in 37 CFR 1.97(e);					
OR					
<input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).					

P10A/REV05



<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b) or 1.97(c))					Docket No. 16197.1.13	
In Re Application of: Michael T. Carley et al.						
Application No. 10/617,090	Filing Date 07/09/2003	Examiner DAVIS, DANIEL J.	Customer No. 022913	Group Art Unit 3731	Confirmation No. 1941	
Title: CLOSURE DEVICE AND METHODS FOR MAKING AND USING THEM						
<b>Payment of Fee</b> (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))						
<input type="checkbox"/> A check in the amount of _____ is attached.						
<input checked="" type="checkbox"/> The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.						
<input type="checkbox"/> Charge the amount of _____						
<input checked="" type="checkbox"/> Credit any overpayment.						
<input checked="" type="checkbox"/> Charge any additional fee required.						
<input checked="" type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.						
<b>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</b>						
<b>Certificate of Transmission by Facsimile*</b>				<b>Certificate of Mailing by First Class Mail</b>		
I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fa  _____ (Date)  _____ Signature  Kelli Clark Typed or Printed Name of Person Signing Certificate				I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1480, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on  _____ (Date)  _____ Signature of Person Mailing Correspondence  _____ Typed or Printed Name of Person Mailing Certificate		
*This certificate may only be used if paying by deposit account.						
 _____ Signature				Dated: September <u>16</u> , 2005		
<b>FRASER D. ROY</b> Attorney for Applicants Registration No. 45,666 Customer No. 022913						
cc:						

P10A/REV05

SEP 16 2005

FILED VIA FACSIMILE

PATENT APPLICATION  
Docket No: 16497.1.1.3

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:		)
		)
	Michael T. Carley et al.	)
		)
Application No.:	10/617,090	) Art Unit
		) 3731
Issue Date:	July 9, 2003	)
		)
Conformation No.:	1941	)
		)
For:	CLOSURE DEVICE AND METHODS FOR	)
	MAKING AND USING THEM	)
		)
Examiner:	Daniel J. Davis	)

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

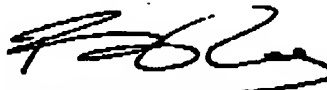
Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

DATED this 16 day of September, 2005.

Respectfully submitted,



FRASER D. ROY  
Attorney for Applicants  
Registration No. 45,666  
Customer No. 022913

MDR:kc  
KC0000004625V001

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional)		Application Number		
				16497.1.13		10/617,090		
				Applicant(s)				
				Michael T. Carley et al.				
				Filing Date		Group Art Unit		
				07/09/2003		3731		
<b>U.S. PATENT DOCUMENTS</b>								
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
		6,926,731	08/09/2005	Coleman et al.	606	213	06/04/2003	
		6,582,452	06/24/2003	Coleman et al.	606	213	09/07/2001	
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<b>FOREIGN PATENT DOCUMENTS</b>								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>								
EXAMINER					DATE CONSIDERED			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

SEP 16 2005

FILED VIA FACSIMILE

**PATENT APPLICATION**  
Docket No: 16497.1.1.3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In re application of:**

Michael T. Carley et al.

**Application No.:**

10/617,090

**Issuc Date:**

**July 9, 2003**

**Conformation No.:**

1941

**For:**

## CLOSURE DEVICE AND METHODS FOR MAKING AND USING THEM

**Examiner:**

**Daniel J. Davis**

CHANGE OF ATTORNEY DOCKET NUMBER

**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**Sir:**

For convenience and ready identification of the papers received in connection with the above-identified patent application, please reference in all future communications my Docket No. 16497.1.1.3.

**All correspondence and telephonic communications should be directed to:**

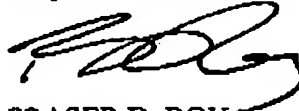
**FRASER D. ROY**  
**022913**  
**Customer Number**  
**Telephone: (801) 533-9800**  
**Facsimile: (801) 328-1707**

Application No. 10/617,090  
Page 2 of 2

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Dated this 16<sup>th</sup> day of September, 2005.

Respectfully submitted,



FRASER D. ROY  
Attorney for Applicant  
Registration No. 45,666  
Customer No. 022913

FDR:kc  
KC0000004638V001